

THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT

In re Application of WILLAN F. WILLIS ET AL.Attorney Docket No.: KCX-332 (15927)Serial No.: 09/741,730Date: DECEMBER 11, 2002Filed: DECEMBER 19, 2000Art Unit: 3763Confirmation No.: 5590Our Account No.: 04-1403Title: SEALING VALVE ASSEMBLY FOR MEDICAL PRODUCTSCommissioner for Patents
U.S. Patent and Trademark Office
Washington, D.C. 20231

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Sir:

The following is an Information Disclosure Statement for the captioned patent application, pursuant to 37 CFR Sections 1.56, 1.97, and 1.98.

1. ☒ Attached hereto is:

- a. ☒ A list of materials for consideration per Rule 98(a)(1): 1 page(s)
- b. ☒ A legible copy of each patent, publication, or other item listed per Rule 98(1)(2), unless not required per Rule 98(c) and/or (d) and as indicated on the attached list(s):
4 item(s)
- c. ☐ For each non-English language item listed, pursuant to Rule 98(a)(3), a concise explanation of the relevance thereof as it is presently understood by the individual designated in Rule 56(c) most knowledgeable about the content of such items: _____
- ☐ Such explanation is provided in the Search Report from a corresponding application enclosed herewith along with any enclosed translation into English.

2. ☒ This Information Disclosure Statement is being filed [CHECK ONE]:

- a. ☐ WITHIN THREE MONTHS of the application filing date, national stage date of entry, or along with or after a request for continued examination, OR BEFORE the mailing date of a first Office Action on the merits, whichever event occurs last, WHEREFORE per Rule 97(b) NO filing fee or Rule 97(e) certificate is required.
- b. ☒ AFTER the time periods of section 2.a above, but BEFORE a Final Action, Notice of Allowance OR an action that otherwise closes prosecution, WHEREFORE PER Rule 97(c) submitted herewith is [CHECK ONE]:
- i. ☒ Certification per Rule 97(e); OR
- ii. ☐ Filing Fee per Rule 17(p)\$180.00
- c. ☐ AFTER a Final Action OR Notice of Allowance, but BEFORE payment of the issue fee, WHEREFORE per Rule 97(d) submitted herewith is:
- i. Certification per Rule 97(e); AND
- ii. Filing fee per Rule 17(p)\$180.00

3. ☒ Rule 97(e) Certification; per Rule 97(e), the undersigned certifying party make the following certification statement [CHECK ONE]:

- a. ☒ That each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; OR
- b. ☐ That no item of information contained in this Information Disclosure Statement was first cited in a foreign patent office in a counterpart foreign application and to the knowledge of the undersigned after making a reasonable inquiry, was known to any individual designated in Rule 56(c) more than three months prior to the filing of this statement.

CERTIFYING PARTY (if different from bottom signature; omission here indicates that certification is being made by signer per signature below).

Name: _____
Address: _____

Signature: _____
Date: _____

4.[x] DEPOSIT ACCOUNT AUTHORIZATION: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any fees in addition to the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (deficiency only) now or hereafter relative to this application and the resulting official document under Rule 20, or credit any overpayment, to our Account No. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This statement does not authorize charge of the issue fee in this case.

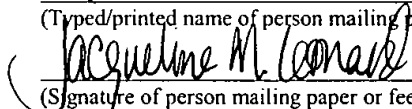
5.[X] CERTIFICATE OF MAILING: This Information Disclosure Statement is being filed pursuant to [CHECK AND COMPLETE ONE]:

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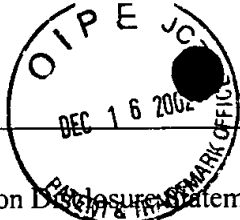
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By: STEPHEN E. BONDURA

Reg. No: 35,070

Signature: 

Date: DECEMBER 11, 2002



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|---|---|-----------------------------|
| (Rev. 5/92) Information Disclosure Statement List By Applicant Under 37 CFR Section 1.98(a) (1) (Use several sheets if necessary) | Attorney Docket Number KCX-332 (15927) | Serial Number 09/741,730 |
| | Applicant ALLAN F. WILLIS ET AL. | |
| | Filing Date: 12/19/00 Confirmation No.: 5590 | Group 3763 |

NOTE:

If no indication is made in the column marked "COPY NOTE," the required legible copy of the corresponding item is submitted herewith; otherwise, a copy is not required and/or not submitted, for the following reason(s) [corresponding reason number is listed in "COPY NOTE" column]"

- (1) This item is cumulative, per Rule 98(c)
(2) A copy of this item was previously cited by or submitted to the U.S. Patent and Trademark Office in:

USSN _____, filed _____, or
USSN _____, filed _____;

Relied on under 35 U.S.C. Section 120, per Rule 98(d)

Both reasons (1) and (2) apply

No legible complete copy is possessed, in custody of controlled, or readily available

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| U.S. PATENT DOCUMENTS | | | | | | | | | | | | |
|-----------------------|--|---------------|---------------|---|---|---|---|---|---|------------|-----------|--|
| EXAMINER INITIALS | | PATENTEE NAME | PATENT NUMBER | | | | | | | ISSUE DATE | COPY NOTE | |
| | | WILLIS ET AL. | 5 | 9 | 9 | 7 | 5 | 0 | 3 | 12/7/99 | | |
| | | FINK | 4 | 9 | 6 | 0 | 4 | 1 | 2 | 10/2/90 | | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | | | | | | | |
|--------------------------|--|---------|-----------------|---|---|---|---|---|---|------------------|-------------|----|-----|-----------|
| EXAMINER INITIALS | | COUNTRY | DOCUMENT NUMBER | | | | | | | PUBLICATION DATE | TRANSLATION | | | COPY NOTE |
| | | | | | | | | | | | YES | NO | N/A | |
| | | PCT | 9 | 9 | 4 | 5 | 9 | 8 | 3 | 9/16/99 | X | | | |

**"NO" means that no copy of an English language translation is within the possession, custody, or control of, or is readily available to any individual designated in Rule 56(c).

| | | | |
|---|---|-------------------|-----------|
| EXAMINER INITIALS | OTHER DOCUMENTS Specify author (if any), Title, Pertinent Pages, Date & Place of Publication | | COPY NOTE |
| | U.S. APPLICATION SERIAL NO. 09/741,729 | DECEMBER 19, 2000 | |
| EXAMINER | DATE CONSIDERED | | |
| Examiner: initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant. | | | |

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ATTORNEY DOCKET NO.: KCX-332 (15927)

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of
ALLAN F. WILLIS ET AL.
Serial No.: 09/741,730

Filed: DECEMBER 19, 2000

For: SEALING VALVE ASSEMBLY FOR
MEDICAL PRODUCTS

) Examiner: R. GHAFORIAN
)
) Art Unit: 3763
)
) Confirmation No.: 5590
)
)
)

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Commissioner of Patents
U.S. Patent and Trademark Office
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Sir:

The present Information Disclosure Statement is submitted in accordance with the Applicants' duty of disclosure.

Applicants would like to bring co-pending Application Serial No. 09/741,729 to the Examiner's attention. The '729 application was filed on the same date as the present application.

A Search Report was issued by the European Patent Office on a PCT application corresponding to the '729 application. Applicants are submitting herewith the references cited in the search report.

The Examiner is encouraged to contact the undersigned at his convenience should he have any questions regarding this matter or require any additional information.

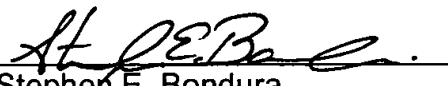
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Respectfully submitted,

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